

Management of Performance Agreements

AUGUST 2000

**Department of Public Service
and Administration**

Table of Contents

①	<i>Glossary of Terms</i>	2
②	<i>Introduction</i>	3
③	<i>Overview</i>	4
④	<i>Mandates for PAs</i>	7
⑤	<i>The PA cycle in short</i>	9
⑥	<i>Information to include in a PA – overview</i>	14
	<i>Information to include in a PA – items 1 and 2</i>	15
	<i>Information to include in a PA – item 3</i>	18
	<i>Information to include in a PA – item 4</i>	19
	<i>Information to include in a PA – item 5</i>	20
	<i>Information to include in a PA – additional elements that could be included</i>	22
	<i>Annexure 1 – Example of a PA</i>	23
	<i>Annexure 2 – Guidance on Performance Review</i>	32
	<i>Annexure 3 – Core Management Criteria Supporting Performance Review</i>	52
	<i>Annexure 4 – Performance Review Discussion</i>	53

Keys to using this Handbook



Note



Important



Check List



Example



Extract



Remember



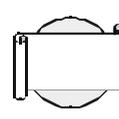
Action



Rules



Tip



Regulation



Definition

Foreword

By Geraldine Fraser-Moleketi, Minister for the Public Service and Administration

The new public service management framework was implemented with effect from 1 July 1999. In accordance with this framework, executing authorities have been granted extensive powers relating to the day to day management of their departments. These powers *inter alia* relate to appointment and other career incidents of public servants.

Whilst the amended Public Service Act, 1994 (referred to hereinafter as the Act), the Public Service Regulations, 1999 (PSR) and collective agreements have freed executing authorities from the bureaucratic stranglehold of the previous regulatory framework, it remains a huge challenge to effectively communicate and implement the basic requirements of the new framework.

Although the legal framework, information, examples and advice on the framework have been made available as part of the baseline implementation programme, there were nevertheless areas in which further development was required. Consequently executing authorities, Heads of Department, senior managers, human resource managers, line functionaries, administrators and other public servants did not and still do not have the time or in some cases the expertise to study all the relevant prescripts and correctly interpret the Act, PSR and collective agreements. As a result public servants of all levels had often approached the Department of Public Service and Administration (DPSA) for advice, assistance, clarification, etc. on matters which they could easily have resolved, if the relevant information was available and packaged in a concise, easy to use and understandable format.

With this in mind the Department of Public Service and Administration developed three concise, easy to understand handbooks to assist executing authorities, Heads of Department, line function & human resource managers, administrators and other public servants to manage the three areas more effectively. This first set of handbooks focuses on the management of –

- [a] employment of heads of department;
- [b] performance agreements (performance based pay for senior managers); and
- [c] performance of other categories of staff.

It is envisaged that these handbooks will provide a much needed information base and information sharing opportunities, both inside and outside the public service.

We are indebted to the Department for International Development in Southern Africa (DFIDSA) who responded to our call for assistance with this project and provided a consultant to facilitate the simplification, editing, information mapping, lay-out and publication of handbooks.

This project is one of a range of initiatives, by the DPSA, aimed at supporting managers in government. It is our sincere hope that these handbooks do enrich the work of managers in the public service and would therefore appreciate feedback regarding this publication.

1. Glossary of terms

Act	-	Public Service Act, 1994 (as amended)
DPSA	-	Department of Public Service and Administration
EA	-	Executing Authority
HoD	-	Head of department and head of a provincial administration and provincial department and a head of an organisational component as identified in Schedules 1, 2 and 3 of the Act.
KPA	-	Key Performance Area
MEC	-	Member of Executive Council
MPSA	-	Minister for the Public Service and Administration
OPSC	-	Office of the Public Service Commission
PA	-	Performance Agreement
PSC	-	Public Service Commission
PSCBC	-	Public Service Co-ordinating Bargaining Council
PSR	-	Public Service Regulations, 1999

2. Introduction

Aim of this guide

This guide aims to:

- create a better understanding of the context within which performance agreements (PAs) for senior managers have to be implemented
 - give guidance on the implementation and management of PAs within a performance management system, and
 - explain the implications of an annual performance review system (see model in Annexures 2 – 4)
-

Who is affected?

Annual PAs linked to a specific financial year are intended for all employees on senior management level (i.e. level 13 upwards), but excluding professionals.

HoDs are currently also assessed in terms of the PA framework. The PSC is investigating a different performance management system for managing and evaluating the performance of HoDs. Until such time as the new system is implemented, the PA system should still be used.

Rationale for PAs

PAs have been introduced as part of the performance management system to provide a *uniform minimum basis* for the performance management of senior managers to assist departments in realising their annual strategic objectives.

It also forms the basis for awarding salary increases and other bonuses to performing senior managers.

In view of its strategic importance and relevance to organisational and individual performance management the guide has been developed to provide relevant information in a concise, easy to read and understandable language.

Statutory provisions referred to in the guide

Statutory provisions referred to in the guide do not necessarily reflect the precise wording or meaning of that provision and are for easy reference only.

In applying this guide, it is important that the original statutory provision(s) be consulted and read in conjunction with this document.

3. Overview

Objectives

The objectives for implementing PAs are to:

- ensure the alignment of the performance objectives of senior managers with the strategic objectives of the department
- enable the assessment of performance on the basis of an approved business plan (covering a specific financial year allocating roles, responsibilities, accountability and providing the relevant mandates and resources)
- enable an EA, i.e. the political head, and top management of a department to manage the performance of senior managers in accordance with the priorities and circumstances of a department
- require senior managers to define their key duties and responsibilities as well as measures and time-frames in terms of which their performance will be assessed
- encourage improved communication between senior managers and their supervisors by providing a mechanism to simultaneously assess and communicate individual performance and amend output expectations (if required) for the remainder of the year on a quarterly basis, and
- provide the basis for performance related salary increases and cash bonuses for senior managers through individual consultation rather than collective bargaining.

How to manage PAs

PAs should be seen as one part of a performance management system for the department as a whole. It is the responsibility of senior management to ensure that the alignment of departmental objectives to individual objectives does not end there. It should actually extend to all employees through job descriptions/workplans and regular performance assessment.

Continued on next page

3. Overview, Continued

Implications of signing a PA

When a manager signs a PA it implies:

- her/ his salary increase is not determined collectively but through a framework for adjustments to managers' salaries based on her/his performance. Guidelines for increases are provided annually by the MPSA
 - senior managers will still be subject to decisions in the PSCBC in respect of their benefits and allowances
 - all salary increases for a senior manager will depend on her/his performance as agreed to in the PA
 - failure to deliver in terms of the PA cannot result in termination of service. However, a PA will serve as evidence in instances where measures for termination of service based on inefficiency are initiated
 - if PAs are properly implemented, problem areas will be identified early and corrective action – training, disciplining, etc. - can be taken
 - as from the date of signing a PA, second and third notches no longer apply.
-

Importance of performance reviews

Performance review as part of the PA framework and the performance management system is important for everyone at every level. At:

- the most senior level, it provides an essential link between the objectives, tasks and results that are delivered departmentally and the contribution made to departmental performance by the senior manager, and
 - a personal level, senior managers benefit from an informed and objective discussion about their performance, strengths and development needs.
-

Purpose of performance reviews

- The performance review system linked to the PA framework is designed to:
 - link assessment of performance to the required outputs which allows identification of the manager's strengths and areas for improvement and development
 - give managers themselves an active part in the process through self assessment and the performance assessment discussion, and
 - create a mechanism to distinguish between different managers as regards the level of their performance.
-

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3. Overview, Continued

Components of a performance management system

- The components of a suggested performance management system are:
 - PAs – including:
 - Personal details
 - Key duties and responsibilities
 - Output targets
 - Dates for formal assessment
 - Dispute resolution, and
 - Resources management, salary increase and incentive management
 - A performance measurement instrument which provides the yardstick for assessment of performance
 - Self assessment against the duties and responsibilities on an annual basis
 - The supervisor's assessment of the manager's performance against the required outputs
 - An assessment of potential for the purposes of career progression and personal development
 - Performance review discussion, and
 - A record of the performance review discussion.
-

4. Mandates for PAs

Background The following details the legal mandates which underpin PAs.

Public Service Act, 1994 The following table lists the relevant information:

Section	Implications
Section 3(5)	Assigns powers and duties concerning the internal organisation of a department to its EA. This includes: <ul style="list-style-type: none"> the determination and grading of the post establishment the career incidents of employees other than HoDs, such as performance management and discipline in a department.
Section 3B	Assigns the President and relevant Premiers the powers and duties concerning the appointment and other career incidents of HoDs which may be delegated.
Section 7(3)(b)	Provides for the following responsibilities of HoDs: <ul style="list-style-type: none"> Efficient management and administration Effective utilisation and training of staff Maintenance of discipline Promotion of sound labour relations Proper use and care of state property
Section 12(4)(b)	Provides for by mutual agreement, the inclusion of “specific performance criteria for evaluating the performance of the HoD.”

Public Service Regulations 1999 The following table lists the relevant information:

Paragraph	Implications
Paragraph B.2.1 of Part VII	Indicates that the prescribed employment contract of an HoD shall be as set out in Annexure 2 of the PSR.
Paragraph 7 of the employment contract (Annexure 2)	Contains the measures which govern the PA of an HoD.
Paragraph B.1 of Part VIII	Indicates that an EA shall determine a system for performance management for employees in her/his Department <i>other than</i> employees in the senior management. Meaning that the MPSA shall determine such systems for senior management.

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4. Mandates for PAs, Continued

**Public Service
Co-ordinating
Bargaining
Council
Resolution No
13 of 1998**

The PSCBC resolution states that:

The purpose of the negotiated collective agreement is to set a framework for senior managers to agree to individual PAs that shall determine their annual salary increments.

Implication:

The agreement thus extends the signing of PAs from HoDs to all senior managers (levels 13-16) and prescribes the following five items that must be included in a PA (each is covered in detail later on):

- Setting key duties and responsibilities
 - Setting output targets for the PA period
 - Dates for performance review
 - Dispute resolution mechanism, and
 - Incremental date and management/awarding of salary increases.
-

**Circular
2/3/1/1/P dated
12 May 1999**

The circular supplements the above framework by indicating that the following annual guidelines will be provided by the MPSA:

- Percentage salary increase to be awarded to senior managers who perform acceptably or better and those who do not.
- Percentage cash bonus to be awarded at the discretion of the EA or her/his delegate.
- Starting salary (for appointment purposes) and minimum and maximum salary of each post level to be able to individually manage senior managers' salary increases according to their performance.

In addition, departments must:

- By September each year indicate to whom a higher salary increase than the guideline was awarded.
- No longer apply 2nd and 3rd notches.
- Develop their own performance assessment system by 31 March 2000 to be utilised to justifiably award cash bonuses and higher salary increases.



Note

The salary increases and other remunerative measures of personnel who have not signed PAs, are still subject to collective bargaining.

5. The PA cycle in short

Who shall conclude PAs?

All senior managers (level 13 and higher) shall conclude PAs.

Exception:

Employees on these levels who are designated as *professional* do not conclude PAs

Requirements for strategic planning

Part II of Chapter B of the PSR requires that strategic planning be undertaken for a department before a draft strategic plan is developed and approved by the EA. The table summarises the typical process:

Stage	Description
By mid January	
1.	Department undertakes strategic planning
By end January	
2.	Department draws up draft strategic plan
By end February	
3.	Department submits draft strategic plan to EA for approval
By end March	
4.	EA approves strategic plan

Contents of strategic plan

The strategic plan shall define:

- the core objectives and
 - goals
- to be attained in the short and medium term.

Without a strategic plan, it will be very difficult to merge PAs effectively as this plan is supposed to define the department's strategic objectives and priority outputs.

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5. The PA cycle in short, Continued

Finalisation and approval of PAs

The following table outlines the typical finalisation and approval process:

Stage	Description
By 1 April – start of the financial year:	
1.	PAs ready in a draft format (although only concluded in May)
Between April and June each year:	
2.	EA and HoD finalises and signs HoD's PA by end April
3.	HoD concludes PAs with managers in a cascaded manner by end May
4.	Copies of PAs sent to DPSA and file on personal files by end June

New appointees New appointees shall act as follows:

Action	Time frame
Conclude a PA	within three months of assuming duty
Forward a copy of the PA to DPSA	within four months of assuming duty

Role of the EA and HoD

The EA and the HoD shall monitor and strategically manage the performance of managers through the agreed to stipulations of the PAs. This approach will ensure informed and up to date knowledge of present and future outputs.

Use of the PA in first quarter

The PAs (even in draft format) should be used to manage the performance of the manager until the PA is finalised during May.

Regular assessment

Throughout the financial year, manager and supervisor must meet on a quarterly basis to assess the manager's performance in terms of her/his performance agreement.

Updates to PA

As the environment in which a manager performs is not stagnant, PAs cannot be stagnant either. PAs need to be constantly updated. The quarterly performance review session provides the ideal opportunity for it.

Continued on next page

5. The PA cycle in short, *Continued*

Quarterly assessments

During quarterly assessments, the manager shall be evaluated against all the elements that she/ he will be evaluated against at the end of the PA period.

Assessments at year-end

At the end of the financial year, the manager's performance shall be assessed on performance over the entire PA period.

The performance measurement instrument should be used, as it should be possible to determine whether the manager performed acceptably or not. It should also provide an HoD or EA with information to determine salary increases and justifiable cash bonuses.

Assessment of performance

Although the supervisor and manager have a discussion to assess the performance of the manager, a minimum standard is suggested and good practices are recommended in Annexures 2 – 4. It is also suggested that one on one assessment is not ideal in the present circumstances and that Departments should rather opt for an assessment committee to determine the assessment marks of their managers.

In the case of an HoD or managers reporting directly to the HoD, the above suggestion is not applicable and it is suggested that the HoD or EA respectively be the sole judge on the performance of their manager(s).

Actions if manager is not performing

If the manager is not performing in terms of her/his PA, the reasons need to be determined and corrective steps taken accordingly:

If the...	THEN the supervisor shall...
manager is at fault for the non-compliance	initiate corrective action through: <ul style="list-style-type: none"> • training to capacitate the manager, or • misconduct/ inefficiency procedures.
<ul style="list-style-type: none"> • goals were unrealistic or • circumstances outside the manager's control were responsible for non-compliance 	<ul style="list-style-type: none"> • revisit the manager's PA, and • revise KPAs, output targets, etc. without penalising the manager.

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5. The PA cycle in short, Continued

PAs and termination of service

Failure to deliver in terms of a PA cannot result in summary termination of service.

However, this can serve as evidence where measures for termination of services based on inefficiency (incapacity) are initiated.

Resolution of disputes

Disputes about the nature of a senior manager's key responsibilities, priorities, methods of assessment and/or salary increment shall be mediated internally. If no successful resolution can be obtained, outside mediation should then be used.

If this fails, it shall be mediated through the dispute-resolution procedures provided by the relevant collective agreements.

Policy – PAs and scrutiny

PAs shall be open to public scrutiny at the relevant department and records must be kept on the personal files of the managers.

Departments' performance assessment systems

Policy

Each department should *by 31 March 2000*, have developed its own performance assessment system to supplement PAs.

Purpose

Such systems will be used to award salary increases/cash bonuses in accordance with the guideline to be issued by the MPSA.

Policy on cash bonuses

Basis for cash bonus

Cash bonus shall be based on above average and/or justifiable performance

Higher cash bonuses

Should a department decide to award higher cash bonuses than those provided for in the guidelines from the MPSA, it should approach her for her approval. Such cases also need to be reported to the MPSA by 30 September each year.

Budget for cash bonuses

Departments will have to budget themselves for the cash bonuses or generate the funds from savings.

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5. The PA cycle in short, Continued

Policy on salary increases

Basis for increases

Salary increases shall be based on performance alone. The salary increase based on a PA shall provide the only salary increment. Second and third notches are no longer applicable to senior managers.

Higher salary increases

Should a department decide to award higher increases than those provided for in the guidelines from the MPSA, it shall report the cases to the MPSA by 30 September each year.

Budget for salary increases

Departments will have to budget themselves for the higher than guideline salary increases of their senior managers.

Collective agreements on benefits

Senior managers on PAs are still subject to collective agreements on benefits and allowances.

Ideal time scale

Ideally, the PA for an individual should be for a one year period:

1 April to 31 March of the following year

The performance during that period shall determine the salary increase in July of the year in which the PA expires. However, the present situation needs to be managed towards the ideal situation.

Interim time scale

Until the above one-year cycle can be achieved, periods of less than a year (but not less than 6 months) will be used as was the case for the 1999/2000 financial year.

6. Information to include in a PA - overview

Introduction

There are five items that must be included in a PA. Each is covered in detail below.

1. Setting key duties and responsibilities
 2. Setting output targets for the PA period
 3. Dates of assessment and monitoring of senior managers' performance
 4. Dispute resolution
 5. Incremental date and salary increases
-

6. Information to include in a PA - items 1 and 2

Item 1 & 2: Key duties and responsibilities

The manager – together with her/ his supervisor – is responsible for setting

- key duties and responsibilities
- the output targets against which she/he is to be assessed against.

The manager and the supervisor shall define the key duties and responsibilities of the post and the standards of performance required in such a way that both are clear about the:

- key outputs to be achieved during the PA period.
 - criteria against which the manager will be assessed at the end.
-

Outputs from the strategic plan

The setting of key duties and responsibilities and output targets should directly be derived from the required outputs of the approved strategic plan.

These key duties and responsibilities and output targets can cover many different aspects of the manager's work:

- Contributions which the manager makes to the overall management of the department
 - Specific tasks or events which the manager must ensure are achieved (perhaps things done in her/his component for which she or he is accountable), or problems to which solutions need to be found
 - Levels of performance which the manager must maintain and promote
 - Actions or situations for which the manager is personally responsible for delivering her/his 'unique contribution', and
 - Duties and responsibilities related to advice and support given, for example, by specialists to 'clients'.
-

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6. Information to include in a PA - items 1 and 2, Continued

Five primary criteria

Key duties and responsibilities and output targets themselves need to satisfy five primary criteria. They must be SMART:

- S** Simple, clear and understandable
- M** Measurable – in terms of quantity and where possible, quality, money and time
- A** Agreed between the manager and the supervisor
- R** Realistic – within the control of the manager, taking account of her/his experience and capability
- T** Timely – to reflect current priorities, assessable within the annual reporting cycle of the PA.

Need for flexibility and review

To meet the criteria at senior levels, a flexible approach is needed. It is rare for any post, even at senior level, to be so completely reactive that it is impossible to determine realistic duties and responsibilities and output targets for some part of the work, including personal development.

But it is, of course, necessary to keep the duties and responsibilities under review – especially in politically sensitive and other dynamic posts.

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6. Information to include in a PA - items 1 and 2, Continued

Suggested approaches

Some suggested approaches to determine realistic duties and responsibilities follow below:

Policy Advice and Implementation

Discussions on duties and responsibilities between the manager and supervisor might lead to a sharper definition of what a policy should consist of and what strategic aim it fulfils. Where the work consists of developing a new policy, objectives might be set, for example, in relation to the timetable for producing a draft green paper.

Mainly responsive posts

Some posts may be about responding to outside events, which may be difficult to predict. It should be possible, however, to extract some broad aims and priority areas. Building on that understanding, the manager might develop objectives about where and how progress is needed to support those aims. These can be amended to suit changing circumstances.

Jobs in specialist areas

The outcome of specialist work may be unpredictable but the same principles apply. Posts can be broken down into component features and a statement of intended outcome attempted.



•

Example:

In a research project, it should be possible to specify the

- 'client'
- time-scale
- subject areas of the planned stages of research, and
- some indication of the kind of outcome hoped for.

A similar approach might be applied to the process of giving legal advice.

How this will be used

The above will be used to measure performance in those areas of responsibility against those indicators, targets and criteria.

Example

An example of the above is contained in the PA attached as Annexure 1.

6. Information to include in a PA – item 3

Item 3: dates of assessment and monitoring

Item 3 covers dates of assessment and monitoring of a senior manager's performance:

- Dates and the format for quarterly – and the annual – assessment relating to the performance of the manager should be agreed and adhered to
- It would be advisable to keep a record of the review meetings and the annual assessment, in the event of any differences of opinion arising out of their meetings
- In the case of quarterly assessment:
 - a review of the senior manager's progress in achieving her/his objectives is required as it may lead to modifications to the PA
 - the performance of the manager in achieving the outputs required by the PA should be discussed against the background of the criteria in the performance measurement instrument that will be used to evaluate her/his performance over the whole PA period
 - this approach provides a natural build-up to formal assessment.

Outcome

The above approach should ensure that the senior manager:

- reports to her/ his supervisor against all parts of their agreement, particularly where performance varies from expectations
 - alerts the supervisor to any emerging factors that could preclude the achievement of any PA undertakings
 - establishes and maintains appropriate internal controls and reporting systems in order to meet performance expectations
 - provides quarterly reports to the supervisor on revision of targets (if necessary) and progress towards the achievement of PA undertakings.
-

6. Information to include in a PA – item 4

Item 4: dispute resolution

Item 4 deals with dispute resolution.

The PA must specify mechanisms to resolve disputes about all aspects of the PA:

- Mechanisms for dispute resolution must include any differences which might arise out of the assessment of work performance
 - In agreeing on a mutually acceptable person to resolve disputes that might arise, an individual within the Public Service should first be considered
 - The person to whom the supervisor reports should perform this duty if possible. She/he will also play an important role in the assessment of the manager
 - If possible, the person identified should be involved in the conclusion of the PA. This will enhance her/his understanding of the contents of the PA and may even prevent disputes from arising.
-

6. Information to include in a PA – item 5

**Item 5:
incremental
date and salary
increases**

Item 5 deals with incremental date and salary increases.

Background

Salary increases will be based on the senior manager's performance. This will be assessed in accordance with:

- her/his duties and responsibilities and key performance areas contained in the PA
 - the extent to which she/ he contributes to the department and complies with its objectives.
-

**Annual
consultation**

The senior manager and the supervisor are responsible for consulting annually regarding her/his salary increase. This is:

- done within the restrictions of the budget
- based on her/his performance and that of the department.

Consultation on a salary increase for a senior manager must be done according to the guidelines on a % salary increase which will be forwarded by the MPSA.

Effective date

Annual salary increases are normally awarded with effect from 1 July.

**Length of time
in a job**

In order to be considered for a salary increase or a cash bonus, a manager must have been in a job / post for *at least* six months.

Discretion

No centrally prescribed evaluation instruments or measures apply. This leaves maximum discretion with the departments regarding:

- how to apply the system, and
- the development of their own instruments.

To help departments to develop their own performance appraisal instruments, two draft instruments have been developed by DPSA and can be obtained from the department.

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6. Information to include in a PA – item 5,

Continued

Effective performance management systems – basis for bonuses



Higher than normal salary increases for above average performance and cash bonuses can be awarded only if a justifiable system exists to support these awards.

Rule:

In the event that such a system does not exist, the above cannot be applied.

Remember: All departments have to develop performance management systems by 31 December 2000.

Discretion regarding unusual increases and bonuses



Provision is made for an EA to grant a:

- higher salary increase than the guideline forwarded by the MPSA, and
- cash bonus equivalent to a maximum % of the annual salary of a senior manager.

These would be a reward for above average and/or justifiable performance.

Note: In this regard a differentiated approach could be followed.

Rewarding those that contribute the most

Different percentages (and thus higher/smaller amounts) can be granted at the discretion of the EA when granting cash bonuses. It is, therefore, possible to use various mechanisms to reward the more deserving senior managers who contribute towards the efficiency of the department.

Budgetary constraints – determining increases

A determining factor when considering the granting of higher salary increases and cash bonuses must be budgetary constraints.

This is essential because these costs must be defrayed from departmental budgets.

Rule regarding bonuses

A manager can qualify for only one cash bonus a year.

6. Information to include in a PA – additional elements that could be included

Introduction

Although the following list of issues does not form part of the PSCBC framework, their inclusion in the PA will help supervisors to:

- improve the management of performance, and
 - determine and assign accountability in their components.
-

Items affecting capacity building

Capacity building (development of competencies) and timeframes for receiving the training should be agreed to.

The necessary competencies and types of training required by a senior manager to perform and manage effectively should be determined up front. This information should guide training interventions during the PA cycle.

Delegation of powers by an EA

Awarding of delegations to a senior manager to enable her/him to deliver on the outputs agreed to in the PA are normally required to improve decision-making and service delivery.

The delegations should be in writing and should accompany or be incorporated into the PA. In drafting and awarding delegations, Chapter II Part V of the Baseline Implementation Guide provides the required guidance.

Resource allocation

Allocation of resources per responsibility should include financial, human and other resources.

This approach linked with the required delegations will be a key factor in assessing whether or not a senior manager is using resources effectively. It will also ensure that accountability and responsibility have been allocated and can be monitored.

ANNEXURE 1 – Example of a PA

2000/2001 PERFORMANCE AGREEMENT

Between : **Mr C Smit**
Chief Director: Human Resource Management
(hereinafter referred to as CD:HRM)

And : **Mr T J de Wit**
Director: Senior Public Service (Hereinafter
referred to as D:SPS)

For the period 1 January 2000 – 31 March 2001

This agreement sets out the CD:HRM's expectations for the D:SPS's performance. It further provides for a systematic evaluation of the performance of the D:SPS in achieving key objectives which contribute to the Chief Directorate: Human Resource Management's objectives in order to achieve the objectives set out in the Strategic Plan of the Department for the year 2000 - 2001.

MANDATE OF THE DIRECTORATE SENIOR PUBLIC SERVICE

1. PURPOSE

To develop policy and render advice on the effective utilisation and retention of senior public service personnel.

2. FUNCTIONS

2.1 Develop (and maintain) policy on the appointment, deployment, termination of service and other career practices of SPS personnel which is well researched, based on the needs of the customer, practical, realistic, and easy to understand and has been determined through a transparent and participative process.

2.2 Render clear, accurate, mandated and easy to understand advice on appointments, deployment, termination of service, and any other aspect related to the employment of SPS personnel.

2.3 Provide clear, accurate, mandated and easy to understand advice and guidelines on all aspects of PAs for SPS personnel (within the performance management and remuneration frameworks determined and maintained by the Department).

2.4 Provide clear, accurate, mandated and easy to understand advice and guidelines on the political/administrative interface within government.

2.5 Develop and maintain databases and information on HoDs and keep record of PAs of senior managers.

3. DUTIES, RESPONSIBILITIES AND ACCOUNTABILITY

3.1 The D:SPS shall be subject to the overall direction and control of the CD:HRM. The CD: HRM determines the policy framework within which the D: SPS operates and in broad terms its scope of activities. The CD: HRM will further determine in broad terms the resources available to the D: SPS.

- 3.2 The D:SPS is directly responsible to the CD:HRM for the Directorate's performance, the realisation of the Performance Agreement and specifically for -
- 3.2.1 giving effect to the Chief Directorate's work plan;
 - 3.2.2 achieving key performance targets;
 - 3.2.3 managing resources of the Directorate efficiently, effectively, economically and in accordance with the principles of fairness and equality as outlined in Government Policy;
 - 3.2.4 providing the CD: HRM with such information as is required to enable performance to be monitored;
 - 3.2.5 ensuring that all aspects of the management and organisation are kept under review and ensuring that they best suit the business needs of the Directorate;
 - 3.2.6 contributing to the Directorate's development and formulation of policy, including assessing the impact and practicability of proposed policy changes and ensuring that the Directorate is in a position to implement change expeditiously and efficiently;
 - 3.2.7 the efficient management and administration of the Directorate including the effective utilisation of staff, the maintenance of discipline, the promotion of sound labour relations and affirmative action, and the proper use and care of State property; and
 - 3.2.8 perform functions that may be prescribed; and
 - 3.2.9 executing delegations.
- 3.3 The D: SPS as Responsibility Manager for the Directorate is responsible to ensure that accounts are kept and that financial procedures are being adhered to, and for the proper, effective and

efficient use of the Directorate's resources within the law as well as to provide such information as may be requested by the CD: HRM, to enable an internal audit of the Directorate's books.

- 3.4 To enable the D: SPS to perform his duties and exercise the power entrusted to him, the CD: HRM undertakes to -
 - 3.4.1 create an enabling environment;
 - 3.4.2 ensure the availability of adequate funds for the D: SPS to deliver against Core Responsibilities; and
 - 3.4.3 ensure effective communication on all relevant matters with the D: SPS.
- 3.5 The relationship between the CD: HRM and the D: SPS is pivotal to good administration of the Chief Directorate. Within this relationship, the D: SPS shall act with integrity and professionalism, within the law, and with the utmost respect for the CD: HRM's role.
- 3.6 The D: SPS shall be responsible for managing the Directorate and the CD: HRM has a right to assume that the Directorate is being run in compliance with the law, prescripts and within its budget. The D: SPS shall be responsible to the CD: HRM for carrying out the functions and duties of the Directorate, rendering free and frank advice to the CD: HRM, the general conduct of the Directorate, and the efficient, effective and economical management of the activities of the Directorate.
- 3.7 The D: SPS shall, where necessary, delegate powers vested in him without lessening the responsibility and accountability for actions taken on his behalf.
- 3.8 The D: SPS shall participate in policy and management structures of the DPSA, and shall be responsible for the co-ordination and integration of the Directorate's activities with the rest of the Branch and the DPSA.

3.9 The D: SPS shall further be responsible for ensuring a consultative and participative approach to the policy process with the relevant stakeholders.

3.10 The resources to be managed are 2 Deputy Directors, 1 State Administration and a Secretary and a total budget of R1, 4 million.

4. REPORTING REQUIREMENTS

4.1 The D: SPS shall report to the CD: HRM against all parts of this agreement, particularly, where performance varies from expectations. The D: SPS shall -

4.1.1 alert the CD: HRM to any emerging factors that could preclude the achievement of any performance agreement undertakings;

4.1.2 establish and maintain appropriate internal controls and reporting systems in order to meet performance expectations; and

4.1.3 provide quarterly reports to the CD: HRM on revision of targets if necessary and on progress towards the achievement of performance agreement undertakings.

5. PERFORMANCE FRAMEWORK

In pursuance of the strategic direction the Department has undertaken to transform the public service, I Thomas Jacobus de Wit; D: SPS commit myself to achieve outputs as contained in the workplans at Annexures A and B for the period February 2000 to March 2001:

6. SKILLS DEVELOPMENT AND CAREER PATH

Skills development in the following areas:

Financial Management.

Impact analysis on country wide reform programmes w.r.t. senior management.

Legislative Reform.

MS Word Literacy.

Project Management.

Strategic Planning.

HR Practices exposure (workshops).

7. DATES FOR REPORT BACK AND FEEDBACK ON PERFORMANCE

Assessment: With CD: HRM on a quarterly basis.
Increment to be decided by July 2000.

Dispute Resolution: DDG:
HRD or a person to be jointly agreed upon
between the CD: HRM and the D: SPS.

8. DECLARATION OF INTENT ON REWARDS AGREED TO

If the D: SPS performs acceptably he will qualify for a salary increase in line with the guideline provided by the MPSA. In the event that the D: SPS performed above average or contributed significantly in an area which the CD: HRM/HoD deems it necessary to reward the D: SPS, a cash bonus as a % of his basic salary is payable.

9. SIGNATURES OF THE PARTIES TO THIS AGREEMENT

The contents of this document have been discussed and agreed with the Chief Director: Human Resource Management.

Name : *Mr. T. J de Wit*

Signature of Director: _____

Date: _____

The contents of this document have been discussed and agreed with the Director: Senior Public Service. As Chief Director: Human Resource Management, I sign this agreement on behalf of the Department.

Name: *Mr. C. Smit*

Signature of the Chief Director: _____

Date: _____

Appendix A

WORKPLAN FOR DIRECTORATE: SENIOR PUBLIC SERVICE 1 JANUARY 2000 – 31 MARCH 2001

Output	Key activities	Performance measures		Resource requirements		
		Target date	Performance standard	Personnel	Budget	Donor needs
<p>1. <u>Advice/assistance & policy maintenance</u></p> <p><input type="checkbox"/> Render advice on human resource practices in the Public Service & maintain policy with special emphasis on –</p> <ul style="list-style-type: none"> ▪ Appointments, promotions and transfers/redeployment; ▪ Termination of service; ▪ Political and administrative interface; 	<p><input type="checkbox"/> Respond to oral and written enquiries on the application and interpretation of policy</p> <p><input type="checkbox"/> Advise and assist departments to implement policy</p> <p><input type="checkbox"/> Amend policies as and when required (on basis of feedback from monitoring and evaluation process)</p>	Ongoing	Respond to –			
		Ongoing	<ul style="list-style-type: none"> ▪ Oral enquiries (max 2 working days) 			
		Ongoing	<ul style="list-style-type: none"> ▪ Written enquiries (max 10 working days) 			
<p>2. <u>Performance management</u></p> <p><input type="checkbox"/> Assist departments with implementation of salary increases and performance awards for senior managers and issue guidelines, if required</p>	<p><input type="checkbox"/> Arrange workshops with departments</p> <p><input type="checkbox"/> Issue guidelines, if required.</p>	By mid Feb 2000	Departments should be enabled to implement salary increases and performance awards in accordance with Ministers guidelines.	<u>Project Leader:</u> Thomas de Wit		One international consultant and two local consultants
		By end Feb. 2000		<u>Deputy Project leader:</u> Anton Swanepoel		
<p>3. <u>Disclosure Framework</u></p> <p><input type="checkbox"/> Finalise proposals to implement a disclosure framework for DG'S and DDG's</p>		18 Feb 2000	Proposals should take into account inputs submitted by departments.	<u>Project Leader</u> Thomas de Wit		Study tour to Australia, NZ
				<u>Deputy Project Leader</u> Anton Swanepoel		

ANNEXURE 2 - Guidance on Performance Review

Guidance to managers

Introduction

This topic provides guidelines for managers on how to:

- Complete the various sections of the performance assessment.
 - Conduct a performance assessment review discussion.
 - Follow up the performance review discussion.
-

What needs to be completed

The Performance Review Form discussed at the end of this Annexure has four sections that must be completed by the manager:

Section Indicator	Section Title
A	Personal Details
B	Action Points from Performance Review Discussion
C	Personal Duty and Responsibility Plan
D	Self-Assessment

A. Personal details

Follow this procedure to complete section A:



Step	Action						
1	Obtain the Performance Review Form <i>Note:</i> You will either receive this or, if available, you can access it on your department's IT system						
2	Check whether or not the personal details section is completed						
	<table border="1"><thead><tr><th>If the personal details section is ...</th><th>Then...</th></tr></thead><tbody><tr><td>Incomplete</td><td>Complete the section</td></tr><tr><td>Complete but incorrect</td><td>Amend incorrect information</td></tr></tbody></table>	If the personal details section is ...	Then...	Incomplete	Complete the section	Complete but incorrect	Amend incorrect information
If the personal details section is ...	Then...						
Incomplete	Complete the section						
Complete but incorrect	Amend incorrect information						

B. Action points from the performance review discussion

Complete this section at the end of the review process.

Note: Guidance regarding this portion of the process can be found at the end of this topic.



Continued on next page

Guidance to managers, Continued

C. Personal duty and responsibility plan

This section contains a summary of the performance assessment that has been completed during the course of the year.

To complete this section of the review form, you are required to:

Step	Action
1	Accumulate all of the information regarding the performance assessment that you have been working towards throughout the year. <i>Note:</i> This will have been agreed initially and then amended as necessary throughout the year to reflect new priorities.
2	Synthesise, summarise, transcribe and reformat the information to comply with the Performance Review Form format
3	Attach a fuller job description and performance plan. <i>Important:</i> This final stage is optional and is dependent on the requirements of the individual completing the form

Important tips for Section C

In order to complete Section C correctly, ensure that you record:

- Your main areas of responsibility (“big picture”)
- Key result areas for the year under review
- The specific objectives you had for all or part of the year, and
- The resources that were available to achieve the duties and responsibilities included. These resources include people, programme expenditure and running costs.



Note: If you know the job weight score for your post, you should include it in this section of the form.

Continued on next page

Guidance to managers, Continued

D. Self-Assessment

This section of the form consists of four key items. The following may assist in completing the aspects. On completion, forward your answers to your supervisor for her/his comments and assessment.

The four items are:

Item No.	What you need to complete
<p>1</p> 	<p>Relate your information closely to the duties and responsibilities that you were working towards during the period under review. This information should be included in the record and will form the basis of a performance review discussion.</p> <p><i>Remember:</i> Space and time are of the essence here. You must ensure that you list the key points only.</p>
<p>2</p>	<p>Here you need to provide key information against the prescribed criteria. These should be included in the record and will also form part of the discussion.</p>
<p>3</p>  	<p>This is an optional item. You can use it to make some specific requests or more general statements relating to interests and career possibilities</p> <p><i>Examples:</i> Include to pursue different career, exposure to specific fields or areas.</p> <p><i>Important:</i> This is not a component of the assessment of your current performance but will assist with succession-planning decisions.</p>
<p>4</p>  	<p>In your answer, you may raise issues such as job loading (working from judgements about the average expectation of others at similar management levels), responsibility and how loading and difficulty affects your ability to deliver a quality output.</p> <p><i>Important:</i> A well-judged recognition of over-loading will be considered a sign of good judgement not weakness.</p> <p><i>Note:</i> Your supervisor may not be able to influence these factors but it is important to discuss them</p>

Continued on next page

Guidance to managers, Continued

Supervisor's preparation for the review



To prepare for the review, the supervisor will take the employee's performance agreement into account. She/ he will then provide the employee with the information that will form the basis of the review discussion.

Rule: This information must be provided at least 48 hours in advance.

The discussion itself



The discussion will take place either:

- With your supervisor alone, or
- In the presence of the counter-signing officer (who might be your supervisor)

Note: This will depend on the closeness of the working relationship involved and the issues that you wish to discuss.

Check your department for any separate guidance that may be issued regarding how the discussion should be conducted.

Preparation for your review discussion



In preparation for the discussion, read and carefully consider the comments made by your supervisor regarding your performance in relation to:

- achievement of your duties and responsibilities
- the criteria that forms part of the performance assessment instrument
- the score you achieved and
- your "potential" with specific reference to development requirements.

Important:

You must also take into account all your achievements over the last PA period. To do this, consider both the duties and responsibilities that you were working towards, along with the opportunities you had to demonstrate these competencies.

Developmental needs and department priorities

The performance review discussion must also cover:

- your development needs
 - the departmental priorities for the coming year (and how these affect you).
-

Continued on next page

Guidance to managers, Continued

Results of the discussion



By the end of the discussion you will have:

- a summarised version of your discussion
- the outline of the following year's PA

Note: You can write this up and separately agree to this PA.

Follow up to the discussion – action points



Following the performance review discussion, either you or your manager should:

- provide a brief record of the discussion
- list any agreed actions for both parties
- highlight any career development plans.
-

Note: This will form the basis of Section B in the Performance Review Form

Signing off the form

It is imperative that both you and your supervisor sign the form of assessment. This is to indicate that:

- the report has been read
 - the report has been discussed
 - action has been agreed and
 - an outline PA for the next PA period has been drawn up.
-

Guidance to the supervisor

Who completes the various sections

Prior to forwarding the form to the supervisor, the manager will complete Sections A to D of the form.

- Once received, the supervisor must complete Sections E – G. These sections include two different but complementary assessments of the manager's performance over the year of assessment.
-

Section E Performance assessment

Section E: Performance assessment consists of two key items. These should be answered using the guidelines below.

Section E: Item 1

The first item in Section E asks you to reflect and report on the achievements of the manager over the past period. To do this, take the duties and responsibilities included in her/his PA into consideration. Ensure that you concentrate here on what has been achieved during the period, giving examples where possible of the results or level of performance reached.

How to complete this section

In order to complete this section, you need to provide a general picture of performance across the completed period and, where required, the quarterly assessment period. In your comments, indicate shortfalls in performance as well as successes.



Important:

The comments should have a bearing to how the performance of the individual has contributed to the achievement or lack of achievement of the organisation's priorities.



Remember:

Everything you write will be available to the manager for scrutiny. It may also form the basis of your discussions. The careful noting of evidence in support of your comments will help to ensure that the discussion is both constructive and helpful.

Continued on next page

Guidance to the supervisor, Continued

Section E: Item 2

This section focuses on the individual's performance throughout the year. In particular, it requires an examination of the individual's fulfilment of the criteria contained in the performance measurement instrument.



Note:

In some cases, not all these criteria will have been fully tested during the period under review. This is the result of variations in the importance of these criteria over time and as they apply to different jobs.



Remember:

It is helpful for you to note which of the criteria you believe are especially important for your job or function. Your comments must be supported by examples illustrating where and how the manager has demonstrated the skills and attributes described in the criteria.

The importance of Section E

The discussion that flows from the responses to Section E are important for the personal development of the manager and her / his staff. Remember that reference to examples of performance or incidents will help the discussion to proceed smoothly and constructively.



Note:

The supervisor should also complete the relevant performance measurement instruments based on her/his assessment.

Section F: Summary of supervisor's assessment

In the summary of your assessment of the manager's performance, you are required to award a percentage score. The goal is to give the individual being assessed a clear indication of the quality of her/ his performance. This will ensure that exceptional or excellent performance is recognised and performance shortcomings are clearly indicated.

A subjective exercise

The allocation of the mark is a subjective exercise. When assessing each element, compare the manager's contribution to that of other managers at similar levels of management responsibility and who are doing broadly similar work.



Important:

The assessment and rating should reflect the rigorous standards expected of senior staff.

Continued on next page

Guidance to the supervisor, Continued

Criteria for making this assessment

Apply the following criteria to your assessment (% mark awarded). It must be:

- fair
- based on performance alone
- non-discriminatory
- in line with the employment equity, affirmative action and transformation initiatives and policies.



Remember:

In your assessment, you should choose the point on the rating scale which most accurately sums up the individual's actual performance. This must be done regardless of any mitigating circumstances such as:

- illness
- domestic problems, or
- other personal difficulties.

Any such factors should be explained in the written comments.

Departmental assistance

Most departments/components will make arrangements for the groups of reporting officers to discuss and agree relative standards before reports are written.

Section G: Assessment of potential



Tips for completing Section G:

- reflect primarily on your assessment of the manager's knowledge, skills and the criteria included in the performance measurement instrument.
- compare the manager's job with others at broadly the same level.
- highlight strengths and weaknesses, particularly in the context of suitability to alternative positions, whether on the same level or higher.

Remember:

It is always helpful to:

- provide reasons for your assessment, and
 - identify the precise areas where you think the manager can best contribute in the future (in her/ his current position or another).
-

Consequences of the assessment

This assessment can help the organisation to provide early warning to those people who may need to think about other avenues for their future career. Nevertheless, it is still best to raise sensitive issues orally.

Continued on next page

Guidance to the supervisor, Continued

Section H: Countersigning

In the event that the counter-signing officer's assessment must be included on the form, forward the form to her/him as soon as you have completed it.



Remember:

Before you forward the document, check whether your department follows alternative arrangements.

What to do once the form is completed

Ensure that the completed form is returned to the manager at least 48 hours before the performance review discussion.

This discussion may take place between the manager and:

- yourself, or
- the counter-signing officer.

The choice normally lies with the manager. Make sure that you check whether your department has specific guidelines on this issue. The decision will be made based either on working relationships, issues to be discussed, or both.

Performance review discussion - preparation

In preparation for the discussion remind yourself of the:

- comments you have made about the manager's performance
 - comments she/he made in the self-assessment sections of the form
 - the manager's objectives during the period under review
 - opportunities she/he had to demonstrate the agreed criteria, and
 - way she/he worked towards completing duties and responsibilities.
-

The review discussion

During the review discussion, both parties must review the content of the performance review documentation. The focus should be on using the performance in the past year as a springboard to improved performance by the jobholder and her/his team. This improvement should be in relation to departmental and personal objectives for the following year. The goal of the discussion is for you and the manager to work together towards this goal.



Remember:

The discussion should also cover the manager's development needs while keeping the departmental priorities of the following PA period in mind.

Continued on next page

Guidance to the supervisor, Continued

Preparation of the new PA period

By the end of the discussion, you and the manager should have a clear outline for the following PA period. You must also be clear about how this new outline fits into the departmental overall aims and objectives. This will be essential in your preparation for the new PA period.

Action points from the performance review discussion

At the end of the discussion, either you or the manager should complete the section of the form dedicated to action points flowing from the performance review discussion.

This will provide a brief record of your discussion and list any agreed action for yourself, your manager or for others.

Finally, both parties must sign off the form



Note:

See the topic on the performance review discussion for more details.

Guidance for the counter-signing officer

Introduction

Where practicable, there should always be a counter-signing officer for the performance assessment process.

This will, however, not be needed under certain circumstances, such as:

- certain exceptional circumstances where a counter-signing officer's comments would not add value
 - when departments have made alternative arrangements in consultation with the staff members affected.
-

Role of the countersigning officer

The responsibility of the counter-signing officer is to offer a third perspective on the year's performance. She/ he may also offer information that provides a valuable perspective on achievement or potential.



Remember:

You have a responsibility to ensure that rigorous and fair standards are maintained within the department and that any anomalies are resolved.

Consultation

Where both a reporting officer and a counter-signing officer are to be involved, it is helpful if they discuss the performance of the jobholder before completing the review form, unless their relative views are already well known to each other.

Standards

As the individual responsible for the counter-signature, you need to complete your assessment before the form is returned to the jobholder. Your comments may then be discussed by the jobholder and the reporting officer in the performance review discussion.



Remember:

Ensure that your comments are unambiguous so they can provide constructive input to that discussion. To facilitate the best use of your comments, you may wish to discuss your comments with the reporting officer before the performance review discussion takes place.

Continued on next page

Guidance for the counter-signing officer,

Continued

Disagreement with comments in Sections E to G

If you do not agree with the comments and assessments made at Sections E, F and G, discuss these with the reporting officer. If you are still unable to agree, record a revised marking at Section F and give an explanation in Section G.



Rule:

Should there be unresolved differences of judgement between the counter-signing officer and the reporting officer, the judgement of the counter-signing officer will stand.

The completed form

Ensure that the completed form is sent back to the jobholder at least 48 hours before the performance review discussion.

Who participates in the discussion

This discussion may be with yourself or with the reporting officer. The choice of party normally lies with the jobholder and can reflect working relationships, issues to be discussed, or both. Remember to check whether or not your department has specific guidelines on this issue before making your decision.

Preparation for the discussion

In preparation for this discussion, remind yourself about the comments:

- you made about the jobholder's performance, and
- she/ he made in the self-assessment sections of the form.

You must also consider both the objectives to which the jobholder was working and the opportunity she/ he had to demonstrate the core criteria in the way in which they worked towards those objectives.

The discussion itself

In addition to other objectives, the discussion should cover the jobholder's development needs and the organisational priorities for the year to come.

By the end of the discussion, you and the jobholder should be:

- clear about an outline of the following year's personal responsibility plan
- able to fit this plan in with the department's aims and objectives.

Continued on next page

Guidance for the counter-signing officer,

Continued

Focus

Your focus in the discussion is to review the content of the performance in the past year. This should provide a springboard to improved performance by the jobholder and her/ his team in relation to organisational and personal objectives in the following year.



Remember: You and the jobholder need to work together towards this goal.

Follow up

At the end of the discussion, either you or the jobholder should complete Section B of the form. This provides a brief record of the discussion and lists any agreed actions for you, the jobholder and / or others.



Rule: You must both sign off the form at the end of the review.

Some frequently asked questions

Questions and answers The following are some frequently asked questions, with answers:

Question	Answer
Can a staff member who acts in a position serve as a reporting manager?	Yes. In most situations an acting manager may complete such a performance review report. But check if your department has specific guidelines on this.
If the reporting officer changes jobs during the year, who is responsible for completing the performance review report at the end of the year?	The aim of this process is to produce a report within the necessary time-scale. This report must be written by the immediate line manager best placed to give a fair assessment of the jobholder's achievement of objectives and his/ her overall performance over the whole period of the report. Normally this will be the one with whom the jobholder worked for the longest period, but this manager must take into account the views of the other line manager involved, particularly if this covers the most recent period.
Is the self-assessment compulsory?	Self-assessment is normally compulsory although items 3 and 4 regarding 'applications/career anchors' and 'other comments' are optional. In exceptional circumstances, it may be acceptable for all parties to waive full completion of the form <i>Example:</i> This may be acceptable in the last few months of someone's career.
Who should complete the report of the performance review discussion?	This is an agreed record. Either the jobholder or the manager can complete Section B of the form. But, it is the manager who is responsible for seeing that this is done.
Does completely open reporting mean that a manager must show the jobholder the report?	Yes. The whole report must be offered to the jobholder at least 48 hours before the performance review discussion.
Do reporting officers have to comment on all the core criteria?	A comment on as many of the nine criteria as possible is desirable. The focus should be on those which are most critical and relevant to the job and department. Key criteria should be highlighted.

Performance Review Form

Public Service Performance Review

This form is an example designed to help senior public servants and their line managers to review and improve performance in meeting the organisation's goals and to provide management information.

Please TYPE or use Black Ink

A. PERSONAL DETAILS

NAME: JAMES MAINE

DATE OF BIRTH: 05-06-1955

DEPARTMENT: PUBLIC SERVICE AND ADMINISTRATION

TITLE OF POST: DIRECTOR: SENIOR PUBLIC SERVICE

DATE APPOINTED: 1 FEBRUARY 1999

PERIOD OF REPORT from 1 April 1999 to 31 March 2000

B. ACTION POINTS FROM PERFORMANCE REVIEW DISCUSSION

AT THE END OF THE PERFORMANCE REVIEW, THE INTERVIEWER SHOULD RECORD THE CONCLUSION OF THE PERFORMANCE REVIEW DISCUSSION HERE, SHOWING AGREED ACTION, AND RECORDING THE OUTCOME OF THE DISCUSSION OF THE INDIVIDUAL'S ASPIRATIONS AND POSSIBLE LATERAL MOVES.

We discussed and agreed to the report. We agreed that all objectives had been met on a significantly higher level. In order to ensure improvement in performance James needs to be exposed to capacity building in certain HR practices and needs to spend more time on quality assurance. New objectives were set.

Mr Maine and I agreed that his skills and experience exceed that of his current post and a move was not planned for the immediate future as a promotion is unlikely taking the Departmental situation into consideration. However, if rotation is to take place he will be granted exposure to HR practices at the lower levels as he requested.

I identify below any development needs, for example in relation to the core criteria.

We discussed some training options which might inform and assist James Maine in maintaining and improving his performance. He is clearly anxious to be capacitated and we have set aside some time for personal development in this area.

The jobholder may make a final comment here and should sign to confirm that the report has been read and discussed, that action has been agreed, and that an outline personal responsibility plan for next year has been drawn up.

Signature of jobholder: JAMES MAINE Signature of interviewer: K NGEMA

Date:

2000/05/03

Date:

2000/05/03

C. PERSONAL RESPONSIBILITY PLAN FOR LAST YEAR

(TO BE COMPLETED BY JOBHOLDER – DOCUMENT FROM DEPARTMENTAL PERFORMANCE MANAGEMENT/PLANNING PROCESSES MAY BE ATTACHED IF APPROPRIATE)

1) MAIN AREAS OF RESPONSIBILITY

The purpose of my job is to develop policy and render advice on the effective utilisation and retention of senior public service (SPS) personnel.

2) KEY AREAS WHERE RESULTS SOUGHT IN YEAR

(These should link with departmental plans and priorities.)

Render advice and maintain policy on the SPS regarding appointments, promotions and transfers/deployment, termination of service and performance agreements.

Assist departments with the implementation of salary increases and performance awards and issue guidelines if required.

Finalise proposals to implement a disclosure framework for heads of departments and DDG's.

Develop guides on management of career incidents of HoDs, performance management and management of performance agreements.

Participate as a team member in the Personnel Expenditure Review to develop strategies for cheaper and improved practices.

Participate as team member in the Senior Management Investigation and develop proposals on the future management of the cadre.

3) SPECIFIC OBJECTIVES/PERFORMANCE MEASURES

To render advice and maintain policy on the appointment, deployment awarding of salary increases and other career practices of SPS personnel which is well researched clear, accurate, mandated, based on the needs of the customer, practical, realistic and easy to understand.

To develop and maintain databases and information on HoDs and collect PAs of SPS personnel.

To manage resources (human and other) effectively and within the required prescripts.

To provide copies of suitable assessment instruments for the facilitation of the implementation of salary increases and cash bonuses.

To develop, print and distribute easy to understand etc. guides on HoDs, performance management and PA with donor funding.

To finalise and implement a consulted user friendly etc. disclose framework for HoDs and DDGs – both nationally and provincially.

To participate actively as a team member in the PER team to contribute to cheaper and improved practices.

To participate actively as a team member and assist in the drafting of proposals on the future management of SPS.

4) RESOURCES MANAGED

(Staff, Running Costs, Programme Expenditure.)

5 staff, 1,2 million budget – responsibility officer. Manage donor monies to the value of R500 000 in respect of the guide and SMI projects.

5) JOB WEIGHT

736 Equate points.

D. SELF-ASSESSMENT

(TO BE COMPLETED BY JOBHOLDER)

1) WHAT DID YOU ACHIEVE IN KEY AREAS AND AGAINST OBJECTIVES?

(Please give here a brief summary of what went well and less well over the year, drawing out your achievements against objectives.)

- The financial disclosure framework was developed, consulted and implemented on 1 April 1999.
- The three guides were completed on time and according to feedback was bearing the desired fruits as it was concise, to the point, informative and is influencing the practices in the desired way.
- Provided concise timeous, to the point, relevant and easy to understand advice.
- Provided the salary increase guidelines timeously.
- Participated actively as a team member (PER and SM investigations and was co-drafter of the SM report containing the proposals on future employment practices.)

From the above it can be determined that it was a successful year and that I have met my objectives. Although very satisfying it was a very difficult year for me and my team as we were constantly confronted with a very high workload with short deadlines which required constant overtime of all concerned. This had an exhausting and negative effect on the morale on me and my team as we believed that very little understanding was there for our efforts. However, I believed we performed remarkably with the available resources and the output was always of a very high level.

Although I achieved my objectives i.t.o. projects etc., it also highlighted certain shortcomings i.e. that I have a lack of capacity i.t.o. certain HR practices which influenced delivery to a certain extent, that not enough information is available on the implementation of some of the practices which make reporting and amending the guidelines and policy thereon very difficult. In addition there is also uncertainty on the exact role of myself and the unit as the unit continually gets involved in day to day issues of Departments and has to play an active role in resolving it.

2) HOW DID YOU ACHIEVE IT?

(Please comment on your record in relation to the Core Criteria and give evidence relevant to the criteria supporting your conclusions.)

- I think that the most relevant criteria have been leadership, delivery of results, management of people, personal effectiveness, judgement and expertise and professional competence.
- To be able to deliver effectively within short timeframes on *ad hoc* issues always require good leadership and vision, management of the situation, communication skills, personal effectiveness, judgement, expertise and professional competence as these issues normally have to be facilitated if it relates to an HoD. Otherwise the *ad hocs* have to be managed along with the projects and within the afforded time frames. As a lack of resources existed I had to perform both managerial and functional duties simultaneously which tested the above to its full extent and I believed that I have performed admirably to be able to deliver on all our objectives.
- The projects on the other hand tested a person's ability to deliver as an individual and as part of a team where a premium is placed on delivery of results, personal effectiveness, intellect, creativity, judgement and expertise and competence. Here again I believed I contributed significantly to the end result.

3) ASPIRATIONS/CAREER ANCHORS

(Please comment if you wish on career aspirations, mentioning any "career anchors" (areas of expertise relevant to future moves) and limits on mobility.)

I recognise that my biggest strengths are my expertise and competence, leadership, management, personal effectiveness and ability to deliver. I am content in my present position but would like to be moved to a bigger unit to hone my managerial skills and to get more exposure on lower level practical problems and developing solutions thereon to enable me to attain higher levels of expertise which will improve my chances for promotion.

4) ANY OTHER COMMENTS

(Please comment if you wish on job loading, difficulties or obstacles and action required to tackle them.)

As indicated at 1, I am of the opinion that not enough manpower is available to deal with the present workload and would suggest the employment of at least two more persons. The skills, expertise and commitment required to add value to the unit are of a high standard and such persons can not normally be recruited from outside. However, to ensure the continued effectiveness of the unit its members should be exposed to continuous training to update them on new trends etc., which is presently impossible as the workload does not allow therefor.

E. PERFORMANCE ASSESSMENT BY REPORTING OFFICER

1) ACHIEVEMENT IN KEY AREAS AND AGAINST OBJECTIVES

(Please give your assessment of how far the jobholder has achieved the desired results, and any shortfalls.)

I agree with James' analysis of his achievements at D1.

Although performance and delivery on the objectives were in most instances significantly exceeding expectations, in some cases the quality assurance of the products were only satisfactorily. This might be ascribed to the bigger than normal workload and the lack of resources and in some instance capacity. James, nevertheless, performed with distinction during this period and the following is noteworthy – the implementation of the financial disclosure framework, the development and distribution of three “dummy” guides, the SM report where he actively participated and the quality and speed of the advice that was forwarded normally within very short timeframes.

It is known that James is on top of his subject but is first to acknowledge that certain information and skills are lacking to really improve some of the practices used – in fairness time counted against him to realise the above and it will be a high priority in the next year.

It was also clear from his performance during the period that he was of the stronger performers in his peer group although relatively young in his position.

2) ASPECTS OF PERFORMANCE

(Please comment systematically on strengths and weaknesses on aspects of performance, giving examples to illustrate your comments against the Senior Civil Service Core Criteria.)

Direction

Leadership

James creates and secures commitment to a clear output and initiates and manages change to realise the objectives. He is visible, approachable and respected. He inspires and is loyal towards his team. He accepts responsibility and demonstrates integrity, honesty and fairness.

Strategic Thinking and planning

One of James' greatest strengths is his ability to think strategically particularly as regards the long term implications and strategies to be followed. Short term priorities have occasionally been sacrificed but I recognise that he has had a need to balance short and long term objectives.

Delivery of results

His strongest suit, he very seldom does not achieve the desired results and if so very real and insurmountable barriers exists. However, quality control can be improved.

F. MANAGEMENT AND COMMUNICATION

Management of people

James' initiative to ensure that all staff felt part of the team and at all times know what to do when to do it by and towards what desired result has ensured an effective co-ordinated unit geared towards delivery.

Communication

James communicates satisfactorily but it can still be improved, although it does not inhibit his delivery and effectiveness at his present level, if he is to be promoted to a higher level it needs more development.

Management of financial and other resources

James manages his financial resources effectively to realise his objectives and ensures value for money delivery although procurement is not really his responsibility.

PERSONAL CONTRIBUTION

Personal effectiveness

James adapted quickly to new demands and change although occasionally unduly questions some of the directions to be pursued. He manages his time well to meet his and the unit's objectives. He is reliable, resilient and reliable under pressure and can take a firm stand if required. He is aware of his strengths and weaknesses and offer advise without fear or favour. He also pursues adopted strategies with energy and commitment.

Intellect, creativity and judgement

Given the nature of his responsibilities his judgement is of vital importance in deciding on the type of advice etc. to suggest to departments, HoDs MECs and Ministers. He is regularly in one to one or as part of a group discussions with HoDs and MECs where he proves his good judgement.

Expertise and professional competence

As James himself recognises his professional expertise is a major asset which resulted in him and the unit realising his/its objectives within the circumstances. This in my opinion was the key to his and the team's success and provided the basis for his performance.

Other Criteria: Comment here on performance in relation to any other criteria relevant to the job - departmental, agency, or professional - and identify strengths and weaknesses using examples.

Please tick the appropriate summary box

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
N/A	5	4	3	3-	2	2+
Too soon to assess fairly	Unacceptable immediate management action required	Areas of weakness improvement needed	Fully satisfactory achievement, demonstrated range of required skills and qualities	Significantly exceeds expected achievement, demonstrated wide range of skills and qualifies	Outstanding all round achievement, skills and qualities	

G. ASSESSMENT OF POTENTIAL

Comment on the potential of the individual covering the range of areas and opportunity for which the individual might be most suited, any limitations and your reasons. Should the individual remain where he/she is or consider a move, project exchange or other opportunity?

We have had a number of discussions over the last year and James knows that further advancement is possible on his current performance. However, he accepts that his chances for promotion will be improved dramatically if he can be more consistent in delivering significant and outstanding performance through better quality assurance. As he has excellent HR experience at policy development and implementation/skills and has an excellent reputation in delivering what is required, linked with what he has achieved in a new environment in the past year, I believe that he is promotable and would support his promotion if he successfully applies. Although James is performing significantly better than can be expected of a person in his position, the shortcoming identified earlier will be attended to, to enhance his skills and competencies even further.

In view of the above I support the guideline salary increase forwarded by the MPSA and also supports the 7,5% cash bonus associated with a 2 rating as his performance is significantly exceeding expected achievements.

Signature

Name in Capitals: K Ngema

Date: 2000/05/30

H. COUNTERSIGNING OFFICER'S SUMMARY

Comment further if you wish on the assessment of performance of the jobholder and the assessment of potential. In particular, comment on the suitability of the individual for posts at the same level and for posts at a higher level. State whether the individual has exceptional potential and, if so, what this implies for future development and above including interdepartmental or other moves.

The reporting officer and I discussed the report before it was written and I am therefore in agreement with the comments made by the Reporting officer.

I agree with the performance and potential assessments made above.

James Maine should be pleased with his contribution over the past year. The marking is a reflection of his effective performance which is significantly better than the expectation of officers at that level.

In view of the above I support the guideline salary increase forwarded by the MPSA and also supports the 7,5% cash bonus associated with a 2 rating as his performance is significantly exceeding expected achievements.

Signature

Name in Capitals T J Ntoane

Date: 2000/06/07

Annexure 3 - Core Management Criteria Supporting Performance Review

DIRECTION	<p>LEADERSHIP</p> <ul style="list-style-type: none"> creates and secures commitment to a clear vision initiates and manages change in pursuit of strategic objectives is visible, approachable and earns respect inspires and shows loyalty builds and supports a high-performing team acts decisively having assessed the risks accepts responsibility for the actions of the team demonstrates the high standards of integrity, honesty and fairness expected in public service 	<p>STRATEGIC THINKING & PLANNING</p> <ul style="list-style-type: none"> develops and influences strategic aims, anticipating future demands, opportunities and constraints demonstrates sensitivity to Ministers' needs and to wider political and Departmental issues contributes effectively to strategic thinking of senior management team sees relationships between complex inter-dependent factors reconciles day to day demands with long term objectives translates strategic aims into practical and achievable plans takes decisions on time, even in uncertain circumstances 	<p>DELIVERY OF RESULTS</p> <ul style="list-style-type: none"> defines results taking account of customer or other stakeholder needs manages relationships with customers/other stakeholders effectively organises work processes to deliver on time, on budget and to agreed quality standards strives for continuous performance improvement improvement and encourages others to do so demonstrates high level project management skills assesses and manages risk monitors performance and incorporates feedback in future plans
MGMNT & COMMUNIC.	<p>MANAGEMENT OF PEOPLE</p> <ul style="list-style-type: none"> encourages staff from diverse backgrounds to develop their potential establishes and communicates clear standards and expectations delegates effectively, knowing when to step in and when not to makes best use of skills and resources within the team gives regular face to face feedback and recognition addresses poor performance builds trust, good morale and teamwork responds to feedback from staff secures commitment to change through appropriate involvement of staff 	<p>COMMUNICATION</p> <ul style="list-style-type: none"> negotiates effectively and can handle hostility is concise and persuasive orally and in writing listens to what is said and is sensitive to others' reactions demonstrates presentational and media skills chooses the methods of communication most likely to secure effective results is comfortable and effective in a representational role builds, maintains and uses an effective network of contacts develops appropriate language skills 	<p>MANAGEMENT OF FINANCIAL AND OTHER RESOURCES</p> <ul style="list-style-type: none"> secures value for taxpayers money challenges existing practices and leads initiatives for new and more efficient use of resources negotiates for the resources to do the job, in the light of wider priorities uses management information to monitor/control resources manages contracts and relationships with suppliers effectively demonstrates commitment to using IT as a resource
PERSONAL CONTRIBUT'N	<p>PERSONAL EFFECTIVENESS</p> <ul style="list-style-type: none"> adapts quickly and flexibly to new demands and change manages own time well to meet competing priorities shows resilience, stamina and reliability under heavy pressure takes a firm stance when circumstances warrant it is aware of personal strengths and weaknesses and impact on others shows commitment to own personal and professional development offers objective advice without fear or favour pursues adopted strategies with energy and commitment 	<p>INTELLECT, CREATIVITY AND JUDGEMENT</p> <ul style="list-style-type: none"> homes in on key issues and principles demonstrates a creative and constructive approach to problem solving offers insights and generates original ideas with practical application analyses ambiguous data and concepts rigorously displays confidence in own judgement but responds constructively to alternative ideas encourages ideas, initiative and innovation in others 	<p>EXPERTISE AND PROFESSIONAL COMPETENCE</p> <ul style="list-style-type: none"> earns credibility and influence through depth and breadth of expertise ensures that decisions are informed by relevant technical/specialist expertise understands and operates effectively within the political and government framework accepts personal responsibility for quality of professional work gives professional direction to others seeks and applies best practice from other organisations

Annexure 4 - Performance Review Discussion

The purpose of the performance review discussion is to provide for a formal occasion at least once a year when:

- progress against plans of the jobholder and her or his area can be reviewed;
- activities that have gone well and less well can be discussed and the reasons agreed;
- plans for the future can be discussed, in the light of the departmental and Ministerial priorities;
- ways can be identified in which all the parties can contribute to improved performance in the future;
- ways of overcoming obstacles can be identified;
- personal aspirations and any development needs can be reviewed; and
- action can be agreed.

The objectives of the supervisor are likely to be:

- to motivate;
- to counsel or guide;
- to plan ahead;
- to improve standards of performance of the individual or unit;
- good preparation, and sufficient advance notice given to the individual (who should be given a copy of the completed form at least 48 hours in advance);
- an interrupted time set aside for the discussion;
- a relaxed setting;
- a clear logical structure;
- as much positive feedback as possible;
- a few clear well documented suggestions for change; and
- an agreed summary of conclusions and action at the end.

The shape of the discussion is all common sense, but an ideal discussion should be a shared occasion, a two way process. A possible pattern would follow the shape of the performance review form (see Note A).

The use of appropriate questioning techniques is often important in performance review discussions, at these as at any other levels. Managers will wish to use the questioning in ways with which they will already be well familiar:

- to draw out information, experience and opinions;
- to explore feelings or attitudes;
- to observe a style or method of response e.g. to help make an assessment of attitude;
- to stimulate thought and judgement;
- to help the jobholder think through a problem;
- to help the jobholder develop a solution;
- to clarify an issue; and
- to help the interviewee feel more at ease.

In performance review discussions, open questions which invite the jobholder to express their thinking clearly and in some detail are more likely to be useful than closed questions which give a strong dictation of the interviewer's own views. Open questions can:

- extend by asking for fuller exploration;
- link by leading from an earlier issue into the next area for discussion;
- compare by asking the jobholder to contrast possible options; and
- clarify by restating and seeking confirmation that the meaning of a comment has been understood.

Leading questions and multiple questions are unlikely to be very active. Listening and reacting to feedback and non-verbal signals constructively are also critical to a successful discussion.

The performance review discussion is likely to work best if it is treated very much as a counselling and mentoring occasion. The aim is to create a dialogue where new ideas and mutual interest are developed, and problem areas are tackled.

Difficult issues should be handled with care, but not ducked or fudged. Key criticisms, problems and judgements need to be brought out into the open. Areas of weakness need to be clearly identified. People may need to be told that they appear to have reached their ceiling. This is likely to be particularly relevant over a period when more staff may be required to leave before what has previously been the normal retirement age of 60. It is not easy. But the aim is to reach agreement on the situation and find a joint and constructive solution, where people know how they stand and what help is available.

Critical to this will be stimulating the jobholder's thoughts and judgements, rather than imposing your own. Problem areas are raised so that they can be mutually resolved rather than the subject of blame or recrimination.

Note A

Suggested shape for performance review discussion

Introduction.

Preliminaries, including purpose, agenda and time set aside.

Performance Review.

Invite jobholder to add any comments to self-assessment.

Draw on cues from the self-assessment to make own comments on view of performance, touching on achievement against objectives and performance against core criteria.

Try to balance recognition for work well done with any reservations or criticisms. Praise and criticisms should be supported by examples (do not thank someone for everything, thank them for something; do not make general adverse comments, show evidence). A joint problem-solving approach might best be taken to areas of weaker performance. Try to end this part of the discussion on a positive and constructive note, remembering that people are unlikely to focus on more than about three critical elements.

Seek any comments on overall rating and, subject to these, indicate if appropriate and timely the likely impact on performance pay.

- Individual's aspirations, testing these against reality;
- Likely implications for staying in present job, a lateral move or possible promotion;
- Preferences for the longer term; and
- Any possible development opportunities in relation to the job or the core criteria (including attachment or secondment possibilities).

Plans for the year ahead

Then decide on an outline of the Personal Responsibility Plan for the year ahead (which might need to be agreed in detail subsequently).

Summary and action points

Draw interview to a close with a summary of the main points agreed for action. These can be recorded on the front by either the jobholder or interviewer.

Conclusion

Wherever possible ensure that the discussion ends on a positive note.